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PATENT APPLICATION
Docket No. 13676.142

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Richard L. Bonkowski et al.

Serial No.: 09/351,102

Filed: July 8, 1999

For: DIFFRACTIVE SURFACES WITH COLOR
SHIFTING BACKGROUNDS

Examiner: Alicia Chevalier

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) Art Unit
) 1772
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TRANSMITTAL FOR SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
Washington, D.C. 20231

Sir:

Transmitted herewith for filing and pursuant to 37 C.F.R. § 1.97 is an Information Disclosure Statement.

37 CFR 1.97 (b)

x The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application, within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application, before the mailing date of a first Office Action on the merits, before the mailing of a first Office Action, or after the filing of a Request for Continued Examination, whichever event occurs last.

37 CFR 1.97 (c)

— The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application, or after the mailing date of a first Office Action on the merits, whichever occurred last, but before the mailing date of either: 1) a final action under 37 CFR 1.113 or, 2) a Notice of Allowance under 37 CFR 1.311, whichever occurs first.

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Also submitted herewith is:

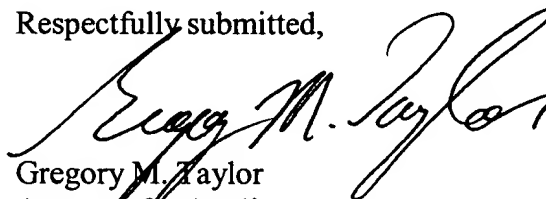
- ☐ a certification as specified in 37 CFR 1.97(e);
- or
- ☐ The fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).
- ☒ Form PTO-1449 listing eight (8) references submitted for consideration.
- ☒ Copies of eight (8) references listed on the Form PTO-1449.

The Commissioner is hereby authorized to charge payment of or any deficiency in the following fees associated with this communication, or to credit any overpayment thereof, to Deposit Account No. 23-3178. A duplicate of this sheet is enclosed.

- ☒ Any fee required in relation to filing of this letter or any documents transmitted therewith.
- ☐ The submission fee set forth in 37 CFR § 1.17(p) in the event the 37 CFR § 1.97(c) applies and the Examiner is not satisfied that any Promptness Certificate submitted meets the requirements of 37 C.F.R. § 1.97(e).

Dated this 15th day of August 2002.

Respectfully submitted,

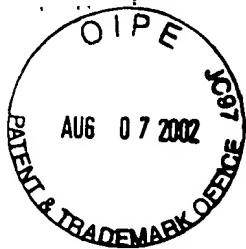


Gregory M. Taylor
Attorney for Applicants
Registration No. 34,263



022913

PATENT TRADEMARK OFFICE



PATENT APPLICATION
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In re application of: Richard L. Bonkowski et al.)
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SHIFTING BACKGROUNDS)
Examiner: Alicia Chevalier)

CERTIFICATE OF DEPOSIT UNDER 37 C.F.R. § 1.8

Commissioner for Patents
Washington, DC 20231

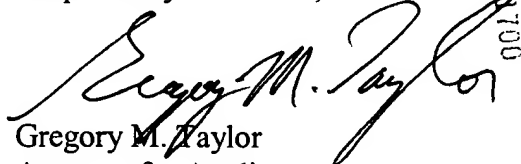
Sir:

I hereby certify that the following documents are being deposited with the United States Postal Service as First Class Mail, postage prepaid, in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on the 15th day of August 2002.

- Supplemental Information Disclosure Statement
- Form PTO-1449 listing 8 references
- Copies of 8 references
- Transmittal for Supplemental Information Disclosure Statement
- Postcard

Dated this 15th day of August 2002.

Respectfully submitted,


Gregory M. Taylor
Attorney for Applicants
Registration No. 34,263

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022913

PATENT TRADEMARK OFFICE



PATENT APPLICATION
Docket No. 13676.142

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In re application of:)
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Filed: July 8, 1999)
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For: DIFFRACTIVE SURFACES WITH COLOR)
) SHIFTING BACKGROUNDS)
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Examiner: Alicia Chevalier)

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.97

Commissioner for Patents
Washington, DC 20231

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of

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which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

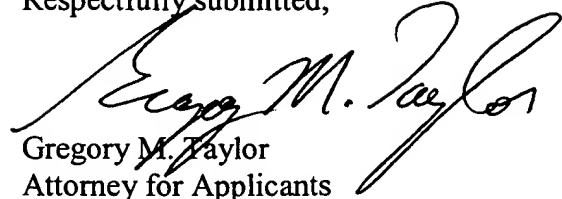
Statement of Relevance of References Listed Unaccompanied
By English Translation Under 37 C.F.R. § 1.98(a)(3)

In accordance with 37 C.F.R. § 1.98(a)(3), the following concise explanation of the relevance of each listed reference that is not in the English language and unaccompanied by a translation into English is provided.

German Application No. DE 43 43 387 A1 published June 29, 1995 discloses visually identifiable optical security markers that have at least two sections which can be identified with the naked eye, and appear as differently structured. The structure in some sections is such that when the viewing direction or illumination direction is changed, so does the optical appearance. The sections are structured so that for an observer, independently of his observation angle, adjacent sections have a clearly contrasting appearance. Each section is uniform in itself. At least one section has a light-diffracting structure with a defined color change when the observation or illumination angle changes.

Dated this 1st day of August 2002.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Gregory M. Taylor". The signature is fluid and cursive, with the first name "Gregory" being more prominent and the last name "Taylor" following in a similar style.

Gregory M. Taylor
Attorney for Applicants
Registration No. 34,263

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